

North Carolina Department of Crime Control and Public Safety Career Banding and Salary Administration Plan

It is the policy of the Department of Crime Control and Public Safety to compensate its career banded employees at a level sufficient to encourage excellence of performance and maintain the labor market competitiveness necessary to recruit, retain, and develop a competent and diverse workforce. . Career Banding is designed to:

- Support a more efficient organizational structure and enhance service commitment by facilitating rewards to employees,
- Define and communicate the responsibilities, competencies, training, education, and experience needed for career advancement,
- Ensure congruence between individual position expectations and the department's performance expectations,
- Base progression to higher levels on standardized assessment, and
- Facilitate increased employee satisfaction and reduced turnover.

Employees in the career banding program within the Department of Crime Control and Public Safety will receive fair and equitable treatment for career opportunity and compensation. Career Banding Salary Administration policies, procedures and guidelines will be applied consistently for all employees.

Section 1: Human Resources Office Responsibilities

A designated CCPS Human Resources (HR) staff member will be appointed by the HR Director as career banding administrator. This individual will oversee the career banding program, ensuring that effective communication, training, evaluation, accountability, and equal opportunity are in place for an effective program within the Department of Crime Control and Public Safety.

HR will provide initial and continuing communications and training for managers, supervisors, and employees. HR will consult with and provide continuing technical support to managers/supervisors in making compensation decisions.

Upon implementation of each job family, HR will consult with and provide technical support to Division Directors on the application of pay factors in making compensation decisions. HR will provide career banding salary administration training to managers who make salary recommendations. As each group of positions are banded within a division, managers will use their knowledge of career banding pay policy to make salary recommendations. HR will provide consultation on the application of pay factors. As managers demonstrate an understanding of the correct and consistent application of pay factors during initial implementation, salary administration authority will be delegated to the manager.

HR will provide guidelines on what percentage salary increases are appropriate. Salary adjustments to be recommended or awarded will not exceed the maximum of the band. HR will consult with the manager regarding percentage increases of more than 10%.

HR will review and audit 20% of management's decisions and report the results to the CCPS Assistant Secretary for Administration.

The Performance Management Program will be utilized to ensure that managers and supervisors are accountable for providing career development advice/guidance and that they are consistently applying the Pay Factors in the making of compensation decisions. This responsibility should be noted in the supervisor's work plan as a job expectation.

HR will administer the following provisions regarding inappropriate career banding salary decisions or other career banding responsibilities by a manager:

- HR will notify appropriate Division Director/Section Head when inappropriate salary recommendations are made (i.e. Employees in final disciplinary procedure or have an overall performance rating below the 'good' level are not eligible for a Career Banding salary adjustment).
- Incidental and infrequent inappropriate salary recommendations may result in additional training and assistance provided to the manager through the HR office.
- HR will ensure that agency performance management plan and disciplinary policy indicates that a manager's failure to comply with expectations for career banding responsibilities may result in a lower performance rating and/or disciplinary action.

HR will conduct annual self-assessments of the career banding program operation including, but not limited to the following:

- Tracking dispute resolution decisions resulting from career banding salary decisions
- Determining if the career banding concept has been communicated to employees in areas where career banding has been implemented
- Determining if pay factors have been applied properly and consistently
- Determining if employees have been provided equitable opportunities for development and advancement
- Ensuring that the Department of Crime Control and Public Safety does not engage in unlawful discrimination

HR will report results of the career banding program self-assessments to the Office of State Personnel at least annually, more often if required by OSP. Detailed information will be released to OSP for monitoring purposes as requested.

Section 2: Management Responsibility

Management will ensure compliance with the Career Banding Policy and Procedures and ensure that the career banding concept is communicated to all employees.

Supervisors will establish career-development plans and provide employee coaching with a goal of enhancing each employee's contribution to the organization's success at the highest level allowed by business needs and available funding. Supervisors will provide training opportunities for employees based on business needs.

Supervisors will evaluate employees' competencies upon entrance into any career-banded position to determine competency level. Thereafter, competencies will be evaluated at least annually during annual performance reviews when employees will be informed of salary adjustment considerations. Management must ensure that the employee is performing at the good or above level and is not in final disciplinary status, (an employee whose personnel file includes (1) two active disciplinary actions of any type or (2) a suspension without pay or demotion) to be eligible for a career banding salary increase.

Management will apply pay factors as listed below when making compensation recommendations. To ensure available funds are distributed fairly and equitably, salaries will be determined in compliance with the State Career Banding Salary Administration Policy. Pay factor consideration will occur with each action as defined in the State Personnel Manual: New Hire, Promotion, Reassignment, Demotion, and Grade-Band Transfer.

Pay Factors

1. Financial Resources
2. Appropriate Market Rate
3. Internal Pay Alignment
4. Required Competencies

Pay factor evaluation may also occur with the following situations to determine if a Career Progression Adjustment is warranted:

- Attainment and demonstrated use of competencies or skills within the same class
- Acquisition of additional or different duties within the same class
- Retention of key employee, in a job with highly competitive market, who has an outside offer of a comparable job
- Recognition of low employee salaries in relation to average market rate or market reference rate
- Addition of temporary duties within class or to a different class

Management will provide documentation on the Salary Recommendation Worksheet for each salary recommendation, describing the relevance of pay factors to the decision. A salary recommendation is defined as a manager's determination of the amount of pay that an employee will be granted after applying all pay factors in any situation.

Management must obtain approval for salary recommendations from appropriate Deputy Secretary/Assistant Secretary/CCPS Secretary. Final decision authority for salary decisions rests in the CCPS Secretary.

Section 3: Employee Responsibility

Employees, in conjunction with managers/supervisors, will review work plans to ensure an understanding of the relevance of competencies and work functions to the mission and goals of the Department of Crime Control and Public Safety.

Employees will attend meetings, information sessions, etc. that will provide explanation of the career banding program.

Employees will provide feedback on the career banding program when requested.

Employees assume the responsibility for following the dispute resolution process, which begins with direct notification to the immediate supervisor and then may proceed through the chain of supervision, if needed.

Employees will take ultimate responsibility for their individual career development.

Section 4: Compensation

Effective Date:

All compensation actions shall be on a current basis, retroactive adjustments will not be made except in the case of adjusting salaries to the band minimum if funds were not available during implementation.

Pay Plan Change:

Grade to Band Transfer: Salary is established based on application of all Pay Factors for career banding. At time of implementation of a job family or branch, the salary may be maintained except it cannot exceed the maximum of the banded class salary range. Salaries that are below minimum of the banded class at implementation must be adjusted to minimum when funds become available. This adjustment may be retroactive to implementation date. After initial band and competency level designation, employees will be considered for future salary adjustments based on advancement/achievement. Evaluation of competencies will occur at a minimum during the annual appraisal period. Managers may recommend adjustments of any dollar amount of the employee's current annual salary not to exceed the maximum of the pay band. Appropriate justification must accompany the request for approval. Justification should include information regarding the following: the development of higher level competencies, the attainment of additional knowledge and skills, job change, and/or internal equity concerns.

Salary adjustments will normally be awarded with effective date of January 1. If adjustments are approved for July 1, any cost of living adjustment (COLA) will be applied before the career banding adjustment. Banded ranges may be periodically reviewed in relation to approved COLA and/or on market data approved by the Office of State Personnel.

Band to Grade: Salary is established by the New Appointments Policy for graded classes.

New Hires:

New employees possessing the minimum qualifications and competencies at the contributing level shall be paid within the contributing level of the band. If the new employee possesses competencies and qualifications that are above the minimum standards, the salary may be established at a higher rate within the range assigned to the band and level. The pay factors, as stated in the plan, will be considered in determining the new employee's salary. New hires that do not meet the minimum qualifications and competencies for the contributing level will be considered trainees and will be compensated below the contributing market reference rate.

Reinstatement:

Reemployment of a former employee into a banded position after a break in service or reemployment of an employee in a banded position from leave without pay (LWOP) shall be paid based on application of all Pay Factors. Reinstatement from LWOP into previous position shall be previous rate unless a higher rate is justified with across-the-board increases or as a career progression adjustment.

Probationary Adjustments:

Employees may be considered for salary adjustments at the successful completion of probation based on increased competency levels. After permanent status is awarded, consideration for adjustments will follow the schedule for current employees.

Promotions:

Promotions will be awarded through a competitive process to include posting of the vacancy, interview, and formal assessment procedures.

If employees are promoted from a lower band to a higher band, they must be paid at least at the minimum of the pay range for their new role. If funds are not available, an increase may be considered at a later date based on a future evaluation of the pay factors. The future adjustment must be made on a current basis, not retroactive. Salaries will be determined based on the pay factors and may not exceed the maximum of the range.

Temporary Promotions:

Temporary promotions may be made when an employee is placed in an "acting" capacity for a specified period of time. At the discretion of management a promotional salary increase may be given in the present position with the understanding that the salary will be readjusted when the "acting" capacity ends. Salaries will be determined based on the pay factors and may not exceed the maximum of the range.

Reassignment:

Salary shall be based on application of all Pay Factors. If employee's current salary exceeds appropriate rate based on Pay Factors and reassignment is not by employee choice, salary may be maintained, except the salary may not exceed the maximum of the banded class salary range. If reassignment is by employee choice, the option to maintain salary above appropriate rate based on Pay Factors is not applicable.

Demotion:

When demotion results in movement to another banded class, salary shall be reduced if it exceeds the maximum of the salary range. When demotion results in salary reduction in

same banded class, salary may not be less than the minimum of the salary range. A salary reduced by disciplinary action may be less than appropriate rate based on Pay Factors.

Career Progression Adjustment:

Advancement through the pay band is a non-competitive process. Salary adjustments may be awarded (but are not mandatory) to recognize progression through the competency structure, the assumption of additional duties and responsibilities, and/or market factors. Salary adjustments will be justified based on competencies, knowledge, skills, abilities, magnitude of job change, internal equity, market conditions, and other relevant factors. Employees with active warnings/disciplinary actions or with overall below good or unsatisfactory ratings are not eligible for a career progression adjustment based on competency assessment.

Reallocation:

Positions/employees may be reallocated from one banded classification to another banded classification. Salary is determined through application of pay factors.

Retention Adjustment:

A salary increase not covered by other pay administration policies that may be necessary to retain a key employee where there is evidence of a job offer from an employer outside the government structure and there is no current employee with substantially equal competencies to assume those duties. A retention adjustment may result in an employee's salary being above the appropriate rate based on Pay Factors. The salary shall not exceed the maximum of the pay range.

Section 5: Career Banding Program Review Committee

A career banding advisory committee composed of at least seven employees, representative of the Department of Crime Control and Public Safety through demographics, organizational level, and occupational areas, will assess and evaluate the operation of the career banding program to ensure that employees are being treated fairly in opportunities for career development and compensation levels. The Career Banding Advisory Committee will review career-banding activities and data to ensure consistency, fairness and equity; advise management on needed changes and improvements; serve as a forum for employees to raise questions concerning the career banding policy; review and analyze career-banding pay changes administered during the period of review, and compile a report of findings and submit to the Secretary, HR Director, and Office of State Personnel. The Career Banding Advisory Committee will be selected by the Secretary of Crime Control and Public Safety. The Career Banding Advisory Committee shall meet at a minimum on a semi-annual basis.

Section 6: Career Banding Dispute Resolution Process

A dispute resolution process within the Department of Crime Control and Public Safety allows all employees who have successfully completed an initial probationary period to

have salary decisions reviewed by a source beyond the initial decision-maker or evaluator. Any dispute resulting from career banding will be tracked and independently reviewed by HR Employee Relations in accordance with the established CCPS Dispute Resolution Policy for Performance Pay. The process will end if/when an employee separates for any reason. The process will not allow appeal beyond the agency level and any decision rendered through this process will be the final agency decision.

Salary decisions, which are eligible for consideration in the dispute resolution process, must be based on one of the following in conjunction with a promotion, reassignment, demotion, or career progression adjustment as defined in policy.

- Amount of salary adjustment is less than appropriate amount as determined through pay factors.
- No salary adjustment has been granted when application of pay factors would support an adjustment.
- Competencies have been inappropriately evaluated.

Salary decisions that are restricted solely because of limited funding are eligible for dispute resolution consideration only if pay factors are not consistently applied to all employees.

Dispute resolution for career banding pay decisions applies to any employee who has successfully completed an initial probationary period. The appeal must meet the requirements listed above.

Step 1 – Appeal of Decision to Immediate Supervisor or Appropriate Supervisor

An appeal must be filed with the immediate or appropriate supervisor within 15 calendar days of receipt of the career banding decision, using CCPS Form-58. A copy must be sent to the HR Director.

The Supervisor shall respond to the employee on CCPS Form 59, with a copy to the HR Director, within 5 calendar days of the filing date of grievance or advise the employee of the conditions that prevent a response within the five calendar days. This response must notify the employee of their appeal rights if the supervisor's decision is to deny the relief sought by the employee.

Step 2 – Appeal of Decision to Division Director

If the discussions and subsequent decision of the Supervisor in Step 1 above are not satisfactory, or if an employee fails to receive a response within the designated 5 calendar days, the employee may request the consideration of the grievance by the employee's Division Director. The request shall be on CCPS Form 59-A, with a copy to the HR Director, and it must be presented within 10 calendar days of receipt of the Step 1 decision or the date the Step 1 decision should have been received.

The Division Director shall consider all facts of the grievance, including all pertinent information provided by the employee and the supervisor(s). The Division Director shall

respond to the employee on CCPS Form 60 within 10 calendar days after receipt of the grievance, with a copy to the Human Resources Director. This response must notify the employee of their appeal rights if the Division Director's decision is to deny the relief sought by the employee.

Step 3 - Appeal to Secretary

If the employee is not satisfied with the second step response, the dispute may then be appealed directly to the Secretary, within 10 business days after receipt of the Division Director's decision in Step 2, on CCPS Form-61. A copy must be sent to the HR Director.

An employee must receive a decision in writing by the Secretary within 20 calendar days. There is no further right of appeal for disputes arising under this policy.

Definitions

Competencies: Knowledge, skills and work behaviors that contribute to success in the job and to the organization's mission and goals.

Contributing Competencies: The span of knowledge, skills and successful work behavior necessary to perform a job from entry up to journey competencies required for the class.

Journey Competencies: Fully applied body of knowledge, skills and successful work behavior demonstrated on the job, which are beyond the contributing competencies.

Advanced Competencies: The highest or broadest scope of knowledge, skills, and work behavior demonstrated on the job, which are beyond journey competencies.

Promotion: Employee movement from one position to another with the same banded classification with a higher competency level (posted) or employee movement from one banded class to another with a higher journey Market Rate.

Horizontal Transfer: Employee movement from one position to another within the same banded class with the same competency level or movement from one banded class to another with the same Journey Market Rate.

Reassignment: Employee movement from one position to another with the same banded classification with a lower competency level or employee movement from one banded class to another with a lower Journey Market Rate.

Demotion: Disciplinary action, resulting in; employee movement from one banded position to another with the same banded classification with a lower competency level, or employee movement from one banded position to another with a different banded classification with a lower journey market rate, or reduction in salary within the same banded class.

Career Band Salary Adjustment: Salary adjustments awarded to recognize:

- 1) an employee's progression through a pay range based on established competency structure;
- 2) assignment of additional duties and responsibilities which result in additional or higher competencies demonstrated by the employee;
- 3) realignment of banded classification salary ranges approved by OSP based on market conditions.

Journey Market Rate: The average salary of competitors in the relevant labor market for a banded class as determined by comparisons of benchmark jobs.

Market Reference Rate: A market rate determined by comparing benchmark jobs to relevant local, state, or national market data that allows geographical market flexibility in establishing appropriate market relationships.

Pay Band: A broad pay range approved for use with the career banding program.

Pay Range: The actual range of pay (minimum to maximum) assigned to a band.

Banded Classification Series: A group of banded classifications that represents the full range of work performed from entry level through the management level

Banded Classification: A broadly defined class concept that incorporates related groups of graded classifications resulting in vertical and/or horizontal integration of work

Career Band Level Change: A change in the level to which an employee is assigned within a banded class.